

PATENT

Atty. Docket: 52493.000163



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)

Jonathan BOSWELL et al.)

Serial No.: 10/028,284)

Art Unit: 2161)

Filed: December 28, 2001)

Examiner: Unassigned)

For: SYSTEM AND METHOD FOR PRICING OF A FINANCIAL PRODUCT OR
SERVICE USING A WATERFALL TOOL

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

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GROUP 3600

In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants respectfully request consideration of the references listed on the attached Form PTO/SB/08A. Copies of the references listed are also enclosed.

Applicants respectfully point out that the submission of the listed documents in this Information Disclosure Statement is not an admission that they are prior art or that they are material to patentability of any claims of the application. Also, the submission of this Information Disclosure Statement is not an indication that a search has been made.

Applicants respectfully request that the Examiner consider the references cited on the Form PTO/SB/08A and that the Examiner indicate that the references have been considered in this application by returning a copy of the Form PTO/SB/08A with the Examiner's initials in the left column per MPEP 609.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /JG/

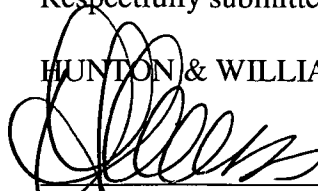
PATENT

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This IDS is submitted prior to the issuance of a first Office Action on the merits; therefore, it is believed that no fees are required in connection therewith. If any fees are necessitated by the filing of this Information Disclosure Statement, please charge the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS LLP



Ozzie A. Farres

Registration No. 43,606

Date: 11/26/03

1900 K Street, N.W., Suite 1200
Washington, D.C. 20006-1109
Ph. (202) 955-1500
Fax (202) 778-2201
OAF/sdw

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PTO/SB/08A (10/01) (modified)
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number

10/028.284

Filing Date

December 28, 2001

First Named Inventor

Jonathan BOSWELL et al.

Art Unit

2161

Examiner Name

Unassigned

Sheet

1

of

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Attorney Docket Number

52493.000163

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

| *Examiner Initial | Cite No. | FOREIGN PATENT DOCUMENT | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | TRANSLATION | |
|----------------------|-------------|-------------------------|----------------------------------|--------------------------------|--|---|--------------------------|--------------------------|
| | | Country Code: | Number - Kind Code (if known) | | | | YES | NO |
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| | | | | | | | <input type="checkbox"/> | <input type="checkbox"/> |

NON-PATENT LITERATURE DOCUMENTS

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|-----------------------|-------------|--|--|--|
| *Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | | |
| /JG/ | 5. | International Search Report dated 09/09/03 for PCT/US02/39205 | | |

EXAMINER SIGNATURE /Jocelyn Greimel/

DATE CONSIDERED 02/18/2008

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /JG/